

PUBLIC BODY & TRIBAL APPLICANTS

Direct Loan and/or Grant

Applicant	Applicant Contact
	(Phone & FAX)
Engineer	Attorney
(Phone & FAX)	(Phone & FAX)

ITEM	PREPARED BY	DATE RECEIVED
III PROCEED WITH FULL APPLICATION		
1 Copy of Notice of Intent to File an Application as published in the newspaper	Applicant	
2 RD Instruction 1900-D Documentation	Applicant	
3 Exhibit A-1 of RD Instruction 1940-Q, Restrictions on Lobbying	Applicant	
4 ND RUS Bulletin 1780-6, Resolution Authorizing Execution of Loan and/or Grant Documents	Applicant & Attorney	
5 EJCDC E-510, Standard Form of Agreement Between Owner and Engineer for Professional Services (Funding Agency Edition 2002), including Exhibits A through J	Applicant Engineer & USDA	
6 Attorney Legal Services Agreement	App & Atty	
7 Bond Counsel Legal Service Agreement	App & BC	
* 8 Resolution Directing Engineer to Prepare a Report...	App & Atty	
* 9 Description of the Improvement District	Engineer	
* 10 Resolution Creating . . . District	Atty & BC	
11 Bank of North Dakota/Other Participating Credit Application (if applicable)	Applicant & USDA	
12 Letter of Concurrence from County Commissioners or Tribal Planning Office	App & Atty	
13 Notice of Public Information Meeting	App & Atty	
14 Minutes of Public Information Meeting	Applicant	
15 List in Attendance at Public Information Meeting	Applicant	
16 RD 1910-11, Applicant Certification Federal Collection Policies for Consumer or Commercial Debts	Applicant	

* Required for projects secured by special assessments

ITEM	PREPARED BY	DATE RECEIVED
17 AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions	Applicant	
18 Deliver AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion- Lower Tier Covered Transactions	Applicant	
19 AD-1049, Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative I for Grantees Other than Individuals	Applicant	
20 Bank of North Dakota/Other Participating Credit Commitment (if applicable)	Lender	
21 Letter of Conditions	USDA	
22 RD 1942-46, Letter of Intent to Meet Conditions	Applicant	
23 RD 1940-1, Request for Obligation of Funds	App & USDA	
24 SF 3881, Electronic Funds Transfer Payment Enrollment Form	Applicant & USDA	
25 RD 2006-38, Civil Rights Impact Analysis	USDA	
26 Water and/or Sewer Use Agreement or Mandatory Use Ordinance (Specimen)	Applicant	
27 Arrange for Interim Financing (if applicable)	App & Atty	
28 RUS Bulletin 1780-27, Loan Resolution (Public Bodies)	App & USDA	
29 RD 400-4, Assurance Agreement	Applicant	
30 RD 400-1, Equal Opportunity Agreement	Applicant	
31 Preliminary Opinion:		
a RD 1927-9, Preliminary Title Opinion	Attorney	
b Further opinion by attorney stating:		
1 All actions by the applicant meet statutory requirements		
2 No litigation threatening the applicant		
3 Project meets the zoning laws	Attorney	
c RD 442-20, Right-of-Way Easement	App & Atty	
d RD 440-34, Option to Purchase Real Property or Deed	Applicant & Attorney	
e RD 442-21, Right of-Way-Certificate, with Right-of-Way Map	App, Atty & Engineer	
f RD 442-22, Opinion of Counsel Relative to Right-of-Way	Attorney	

* Required for projects secured by special assessments

ITEM	PREPARED	DATE
	BY	RECEIVED
* 32 Preliminary Special Assessment Documents – Items 1 & 2 of ND RUS Bulletin 1780-3, Attachment A 1	Applicant & Attorney	
33 Bond Transcript Documents (ND RUS Bulletin 1780-3, Attachment A, B or C)	Attorney & BCounsel	
34 Appraisal (if applicable)	Appraiser	
35 GECC Approval of Applicant Incurring Debt	App & Atty	
36 Submit to OGC for Closing Instructions	USDA	
IV ENGINEER		
1 Plans and Specifications	Engineer	
2 Bid Docket (ND RUS Bulletin 1780-5)	Engineer	
3 Evidence of Approval of Plans and Specifications by Appropriate Agency	USDA &/or NDSHD	
4 RD 1924-16, Record of Pre-Construction Conference	Engineer	
a Deliver RD 400-3, Notice to Contractors and Applicants	Engineer	
5 Concurrence in Resident Inspector	Eng/USDA	
V PRE-CLOSING REVIEW		
1 Verification of Other Committed Funds	Applicant	
2 Verify Number of Users	USDA	
3 Closing Instructions have been received from the Office of the General Counsel and provided Borrower, Borrower's Legal Counsel, Borrower's Bond Counsel and Engineer	USDA	
4 Complete all requirements of Other Lender, Bond Counsel, Office of General Counsel and USDA	App, Atty, BC/USDA	
5 Insurance		
a Comprehensive General Liability Insurance	Applicant	
b Real Property Insurance	Applicant	
c Workers Compensation	Applicant	
d Fidelity Bond Application	Applicant	
e Malpractice/Directors & Officers Insurance	Applicant	
6 Water Permits	Applicant	
7 Review of Non-procurement List (RD Instruction 1940-M) http://epls.arnet.gov/	USDA	
8 RD 400-8, Compliance Review	USDA	
VI LOAN CLOSING		
1 Execute Improvement Warrant/Revenue Bond (Other Lender and/or USDA)	Applicant & Attorney	

* Required for projects secured by special assessments

ITEM	PREPARED BY	DATE RECEIVED
2 Bond Registration Book	BC	
3 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	Applicant & USDA	
VII AFTER LOAN CLOSING		
* 1 Complete Special Assessments – Items 3-11 of ND RUS Bulletin 1780-3, Attachment A 1 or Items 1-9 of Attachment B 1	Applicant & Attorney	
2 Final Opinion and Complete Bond Transcript Documents (ND RUS Bulletin 1780-3, Attachment A, B or C)	Attorney & BC	
3 Submit for Post Closing Review by OGC	USDA	
4 Receipt of OGC Final Review	OGC	
5 RD 3550-28, Authorization Agreement for Preauthorized Payments	App/Bank USDA	

* Required for projects funded by special assessments

Attachments A and A 1 or B and B 1 will be used for projects secured by special assessments.

Attachment C will be used for projects secured by revenue.

Attachment D will be used for projects jointly funded with the Bank of North Dakota.

FOR RURAL DEVELOPMENT USE ONLY

ITEM	DATE RECEIVED
VIII LOAN AND/OR GRANT CLOSING LIST	
1 SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form – check to be sure account has been setup for EFT for the first advance of funds	
2 Closing Instructions have been received from the Office of the General Counsel and provided Borrower, Borrower’s Legal Counsel, Borrower’s Bond Counsel and Engineer	
3 Review OGC Closing Instructions to ensure all stated requirements have been met	
4 Review the Resolution Authorizing Issuance of the Bond/Warrant to ensure reserves in the Bond/Warrant coincide with the reserve requirements in the Letter of Conditions	
5 Get figure to pay off the Interim Financing (if applicable)	
6 RD 440-11, Estimate of Funds Needed for 30-Day Period Commencing	

FOR RURAL DEVELOPMENT USE ONLY

ITEM	DATE RECEIVED
7 Request first advance of funds 2 working days prior to scheduled loan closing	
8 Review Non-procurement List for Borrower, Engineer, Legal Counsel, Bond Counsel and Contractor (RD Instruction 1940-M) http://epls.gov/	
9 RUS Bulletin 1780-27, Loan Resolution (Public Bodies): Complete and execute Certification To Be Completed At Loan Closing	
10 Borrower Attorney's Further Opinion/Preliminary Title Opinion	
11 Resolution Creating the Fund... and Specimen Warrant/Resolution Authorizing Issuance of Revenue Bond and Form of Revenue Bond	
12 Copy of Bank of North Dakota/Other Participating Lender Improvement Warrant/Revenue Bond and Bond Counsel's Final Approving Opinion	
13 Original Improvement Warrant/Revenue Bond	
14 Original Bond Counsel Final Approving Opinion	
15 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	
16 Attorney's initialed copy of Closing Instructions and Certification by USDA	
IX GRANT CLOSING PRIOR TO LOAN CLOSING LIST	
1 Review OGC Closing Instructions to ensure all stated requirements have been met	
2 SF 3881, ACH Vendor/Miscellaneous Payment Enrollment Form – check to be sure account has been set up for EFT for the first advance of funds	
3 RD 440-11, Estimate of Funds Needed for 30-Day Period Commencing	
4 Request first advance of funds 2 working days prior to scheduled closing	
5 Review Non-procurement List for Borrower, Engineer, Legal Counsel, Bond Counsel and Contractor (RD Instruction 1940-M) http://epls.gov/	
6 RUS Bulletin 1780-12, Water or Waste System Grant Agreement	

o O o